



ALABAMA DEPARTMENT OF HUMAN RESOURCES REQUEST FOR PROPOSALS

PROCUREMENT INFORMATION	
RFP Number: 2006-600-01	RFP Title: <i>Document Management Consulting Services</i>
Proposal Due Date and Time: <i>Wednesday, November 08, 2006</i> 12:00 p.m., Central Time	Number of Pages: 33
Procurement Officer: Starr Stewart Phone: (334) 353-4744 E-mail Address: ssstewart@dhr.state.al.us Website: http://www.dhr.state.al.us	Issue Date: <i>Tuesday, October 03, 2006</i>
	Issuing Division: <i>Information Systems</i>

INSTRUCTIONS TO VENDORS	
Submit Proposal to: Starr Stewart – Policy, Planning and Research Alabama Department of Human Resources Gordon Persons Building, Room 2344 50 Ripley Street Montgomery, AL 36130-4000	Label Envelope/Package: RFP Number: 200-600-01 RFP Due Date: <i>Wednesday, November 08, 2006</i>
	Special Instructions:

VENDOR INFORMATION	
(Fill in the information fields below and return this form with RFP response)	
Vendor Name/Address:	Authorized Vendor Signatory: _____ (Please print name and sign in ink)
Vendor Phone Number: ()	Vendor FAX Number: ()
Vendor Federal I.D. Number:	Vendor E-mail Address:
Indicate whether this proposal is an original or a copy. <input type="checkbox"/> Original <input type="checkbox"/> Copy	
Trade Secret Declarations: (<u>reference section/page(s) of trade secret declarations</u>)	

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VENDOR'S RFP CHECKLIST

1. _____ **Read the entire document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contractual requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).
2. _____ **Note the procurement officer's name, address, phone numbers and e-mail address.** This is the only person you are allowed to communicate with regarding the RFP.
3. _____ **Attend the pre-proposal conference** if one is offered. These conferences provide an opportunity to ask clarifying questions, obtain a better understanding of the project, or to notify the Department of any ambiguities, inconsistencies, or errors in the RFP.
4. _____ **Take advantage of the “question and answer” period.** Submit your questions to the procurement officer by the due date listed in the Schedule of Events and view the answers given in the formal “addenda” issued for the RFP. All addenda issued for an RFP are posted on the Department’s website at www.dhr.state.al.us and will include all questions asked and responses concerning the RFP.
5. _____ **Follow the format required in the RFP** when preparing your response. Provide point-by-point responses to all sections in a clear and concise manner.
6. _____ **Provide complete answers/descriptions.** Read and answer **all** questions and requirements. Don’t assume the Department or evaluation committee will know what your company capabilities are or what items/services you can provide, even if you have previously contracted with the Department. The proposals are evaluated based solely on the information and materials provided in your response.
7. _____ **Use the forms provided**, i.e., cover page, budget forms, certification forms, etc.
8. _____ **Check the Department’s website for RFP addenda.** It is the vendor’s responsibility to check the Department’s website at www.dhr.state.al.us for any addenda issued for this RFP, no further notification will be provided.
9. _____ **Review and read the RFP document again** to make sure that you have addressed all requirements. Your original response and the requested copies must be identical and be complete. The copies are provided to the evaluation committee members and will be used to score your response.
10. _____ **Submit your response on time.** Note all the dates and times listed in the Schedule of Events and within the document, and submit all required items on time. Late proposal responses are *never* accepted.

This checklist is provided for assistance only and should not be submitted with Vendor’s response.

SCHEDULE OF EVENTS

The following RFP Schedule of Events represents the Department's best estimate of the schedule that will be followed. Unless otherwise specified, the time of day for the following events shall be between 8:00 a.m. and 4:30 p.m., Central Time. The Department reserves the right, at its sole discretion, to adjust this schedule, as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the Department's website at www.dhr.state.al.us as detailed in Section 1.5.3 of this RFP. Vendors should refer to the website periodically for changes to the RFP.

EVENT	DATE
RFP Issue Date.....	October 03, 2006
Deadline for Receipt of Written Questions.....	October 13, 2006
Deadline for Posting of Written Responses to Questions	October 20, 2006
RFP Response Due Date	November 08, 2006
Evaluation of Proposal and Selection of Vendors	November 14-17, 2006
Vendor Oral Presentations	November 28-30, 2006
Intended Date for Notice of Intent to Award a Contract	December 05, 2006

SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS

1.0 PROJECT OVERVIEW

The ALABAMA DEPARTMENT OF HUMAN RESOURCES, (hereinafter referred to as “the Department”) is seeking solicitations from reputable, experienced vendors to analyze its document management processes. The selected vendor will be required to conduct a thorough and complete analysis of the business processes and automated systems that support the business processes, currently being used by the Department. It is the expectations of the Department that the results of the analysis will yield a sound, flexible recommendation to upgrade its current operations and systems capabilities with regards to **Document Management** and one that will provide for future technological advancements. The recommendation should incorporate a combination of business process reengineering and systems replacement efforts, additionally the solution must encompass documentation of the business processes, including the utilization of any automated systems that support the business processes, currently being used by the Department in relation to document management. The Department will be seeking consulting and technical support throughout this effort. A more complete description of the services sought for this project is provided in *Section 3, Scope of Project*. Proposals submitted in response to this solicitation must comply with the instructions and procedures contained herein.

1.1 ELIGIBLE ENTITIES

Eligible entities may include governmental agencies, faith-based organizations, non-governmental public or private organizations and individuals who: 1) are legally authorized to conduct business within the State of Alabama; 2) possess a high degree of professional skill in the area of service described in this document; 3) possess the skills needed to perform the services described in this RFP; and, 4) meet the terms and conditions of the RFP.

1.3 CONTRACT TERM

The contract term is for a period of up to **two months** or until the analysis is complete and a recommendation is forwarded to the Department, beginning **January 15, 2007** and ending **March 19, 2007**.

1.4 POINT OF CONTACT

From the date this Request for Proposal (RFP) is issued until the vendor selection is announced, all communication must be directed to the procurement officer in charge of this solicitation. **Vendors must not communicate with any Department staff or officials regarding this procurement with the exception of the procurement officer.** Any unauthorized contact will disqualify the Vendor from further consideration. Contact information for the point of contact is as follows:

Starr Stewart – Policy, Planning and Research
Alabama Department of Human Resources
50 Ripley Street, Room 2344
Montgomery, AL 36130-4000
Telephone Number: (334) 353-4744
E-mail Address: sstewart@dhr.state.al.us

1.5 REQUIRED REVIEW

1.5.1 REVIEW RFP

Vendors should carefully review the instructions, mandatory and general requirements, project specifications, and the standard terms and conditions in this RFP. After a thorough review of the RFP, if the Vendor identifies

any ambiguity, inconsistency, unduly restrictive specifications, or error, promptly notify the procurement officer identified above in writing, via e-mail or courier by the deadline for receipt of questions as stated in the Schedule of Events.

1.5.2 VENDOR'S QUESTIONS

Vendors with questions or requiring clarification regarding any section of this RFP must submit written questions via e-mail or courier to the procurement officer referenced above on or before **Friday, October 13, 2006**. Each question must reference the section, page, and item in question. Vendors must submit all questions posed in a single email message to the procurement officer. Questions received after the deadline will not be considered.

1.5.3 DEPARTMENT'S RESPONSES

The Department will provide an official written answer by **Friday, October 20, 2006** to all questions received by **October 13, 2006**. The Department's response will either provide clarification of the applicable issue or be in the form of a correction to this RFP. Vendor questions and the Department's responses, as well as any formal written addendum will be posted on the Department's website at www.dhr.state.al.us by the close of business on the date listed.

1.5.4 VENDOR ORAL PRESENTATIONS

The State reserves the right to require from the Vendor an oral presentation to the evaluation committee or any other State designated personnel. The Vendor will receive a minimum of three (3) calendar days notice prior to the presentation. The State reserves the right to request any key personnel proposed by the Vendor to attend the oral presentation.

1.6 MANADATORY REQUIREMENTS

All requirements described in this RFP are considered mandatory. Vendor's proposals **must** meet all general and mandatory requirements to be eligible for consideration. The Department will determine whether a Vendor's proposal complies with the requirements. Proposals that do not meet all requirements listed in this RFP may be subject to point reductions during the evaluation process or may be deemed non-responsive. Proposals that do not meet the requirements 1.6.1 through 1.6.4 will be deemed non-responsive and no other consideration will be given.

1.6.1 DEADLINE FOR RECEIPT OF PROPOSALS

Proposals must adhere to the format requirements and must be received by the deadline for receipt of proposals as specified in the Schedule of Events and Section 1.8.2 *Required Copies and Deadline for Receipt of Proposals*.

1.6.2 TAXPAYER IDENTIFICATION VERIFICATION

Vendors must include a legible copy of their taxpayer identification letter from the Internal Revenue Service.

1.6.3 DISCLOSURE STATEMENT

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000. Alabama law provides that a foreign corporation (an out-of-state company/firm) may not transact business in the State of Alabama without submission of a completed Disclosure Statement to the Alabama Division of Purchasing. Disclosure Statements may be downloaded from the State Purchasing website at www.purchasing.alabama.gov for completion. Vendors must include a completed copy of the Disclosure Statement in their proposal.

1.6.4 AUTHORIZED VENDOR SIGNATORY

Vendors must provide an original proposal using the format described, with an original signature of person(s) legally authorized to bind the applicant to the proposal.

1.7 GENERAL REQUIREMENTS

1.7.1 ACCEPTANCE OF STANDARD TERMS AND CONDITIONS

By submitting a response to this RFP, Vendor agrees to acceptance of the standard terms and conditions of this RFP. Requests for additions or exceptions to the standard terms and conditions including any necessary licenses, or any added provisions must be submitted to the procurement officer by the due date for receipt of written questions and must be accompanied by an explanation of why the exception is being sought and what specific effect it will have on the Vendor's ability to respond to the RFP or perform the contract.

1.7.2 UNDERSTANDING OF SPECIFICATIONS AND REQUIREMENTS

By submitting a response to this RFP, Vendor agrees to an understanding of and compliance with the specifications and requirements described in this RFP.

1.7.3 VENDOR'S SIGNATURE

An individual authorized to legally bind the organization submitting the proposal must sign the original proposal in ink. The Vendor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion that would preclude the Department from obtaining the best possible service for the best possible price.

1.8 SUBMITTING A PROPOSAL

1.8.1 SUBMISSION LIMITS

Each vendor may submit only one proposal, multiple proposals may disqualify vendors who do not adhere to this requirement.

1.8.2 REQUIRED COPIES AND DEADLINE FOR RECEIPT OF PROPOSALS

Vendors must submit one (1) original proposal and **seven (7)** copies and one (1) electronic (PDF preferred) copy on CD or DVD clearly labeled with the Vendor name to:

**Starr Stewart, Policy, Planning and Research
Alabama Department of Human Resources
Gordon Persons Building, Room 2344
50 Ripley Street
Montgomery, AL 36130-4000**

Proposals must subscribe to the section/subsection headings and numbering format as specified in *Section 4 Proposal Format and Instructions*. Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to RFP #2006-600-01. ***Proposals must be received at the receptionist's desk of the Policy, Planning and Research by to 12:00 p.m., local time, Wednesday, November 08, 2006. Prior to due date, proposals may be delivered Monday through Friday between the hours of 8.00 a.m. and 4:30 p.m. Faxed and electronically submitted responses to requests for proposals are NOT accepted.***

1.8.3 FAILURE TO COMPLY WITH INSTRUCTIONS

Vendors failing to comply with these instructions may be deemed non-responsive or subject to point deductions. The Department may also choose to not evaluate, and disqualify from further consideration any proposals that

do not follow the format described in Section 4: *Proposal Format and Instructions*, are difficult to understand or read, or are missing any requested information.

1.8.4 SEPARATE COVER

Vendor Cost Proposals (Price Sheets) and Vendor Technical Proposals must be submitted in separately sealed containers. No pricing information shall be included in the Vendor Technical Proposal document. Inclusion of Price Sheet amounts in the Vendor Technical Proposal document shall make the entire proposal non-responsive.

1.8.5 TIMELY SUBMITTED PROPOSALS

All timely submitted proposals and materials received in response to this RFP become the property of the Department and will be incorporated into any formal documentation and/or contract resulting from this RFP between the Department and the Vendor.

1.8.6 LATE PROPOSALS

Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be the Vendor's sole risk to assure delivery at the receptionist's desk at the designated office by the designated time. Late proposals will not be opened and may be returned to the Vendor at the expense of the Vendor or destroyed if requested.

SECTION 2: STANDARD INFORMATION

2.0 AUTHORITY

This RFP is issued under the authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3rd Sp. Sess., p 817, §1.). Any awards resulting from this RFP will be made based on stated evaluation criteria. The weight assigned to each criterion denotes the relative importance of that criterion. No criteria, other than that identified in this RFP, will be used.

2.1 VENDOR COMPETITION

In accordance with 45 CFR 74.43, the Department encourages free and open competition among Vendors. Whenever possible, the Department will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the Department's need to procure technically sound, cost-effective services and supplies

2.2 NONDISCRIMINATION

In accordance with 45 CFR 74.44, no person shall be excluded from participation in, be denied benefits of, be discriminated against in the admission or access to, or be discriminated against in treatment or employment in the Department's contracted programs or activities on the grounds of handicap and/or disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal or Alabama State Constitutional or statutory law; nor shall they be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of contracts with the Department or in the employment practices of the Department's contractors. Accordingly, all Vendors entering into contracts with the Department shall, upon request, be required to show proof of such nondiscrimination and to post in conspicuous places, available to all employees and applicants, notices of nondiscrimination

2.3 IMMIGRATION STATUS

Vendor's authorized person(s) within the agency must sign and submit *Appendix D* on the immigration status of all workers to be employed for the services described in this procurement. Vendors must attest that all workers will be citizens of the United States or at the time of employment will be in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

2.4 PROPOSAL EFFECTIVE PERIOD

All proposals submitted in response to this RFP shall be effective for a 180-day period following the deadline for receipt of proposals as specified in the Schedule of Events and may not be modified, withdrawn or canceled by the Vendor during this period.

2.5 TRADE SECRETS

As part of the initial evaluation, the procurement officer in charge of this solicitation will review proposals received in response to this RFP, for any information deemed a "trade secret" by the vendor and separate identified parts of proposal from public viewing providing the following conditions have been met: (1) confidential information is clearly marked and separated from the rest of the proposal; (2) the proposal does not contain confidential material in the cost or price section; and (3) an affidavit from a Vendor's legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade secrets. The Vendor's Legal Counsel must use the Department of Human Resources "Affidavit for Trade Secret Confidentiality" form when requesting the trade secret claim. The affidavit form (*Appendix C*) included in this RFP.

Information separated out under this process will be available for review only by the procurement officer, the evaluation committee members, and limited other designees. Vendors must be prepared to pay all legal costs and fees associated with defending a claim for confidentiality in the event of a “right to know” (open records) request from another party.

2.6 PRE-SCREENING AND EVALUATION OF PROPOSALS

2.6.1 PRE-SCREENING

During the pre-screening, proposals will be reviewed to ensure compliance with all general and mandatory requirements. Upon completion of this initial review they will be classified “responsive” or “non-responsive”. However; proposals may be found non-responsive at any time during the evaluation process if the proposal does not meet the formatting requirements specified in the RFP; if any of the required information is not provided; or the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP. Proposals declared non-responsive, will not receive further consideration.

2.6.2 EVALUATION OF PROPOSALS

All responsive proposals will be evaluated against the stated criteria. However, this does not preclude the Department from any discussions/negotiations or requests for a best and final offer that it may deem necessary to assist in determining the Vendor. In scoring against stated criteria, the Department may consider such factors as accepted industry standards and a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors to determine the most advantageous offering to the Department.

2.7 DISCUSSION/NEGOTIATION AND/OR ORAL PRESENTATION/PRODUCT DEMONSTRATION

After receipt of all proposals and prior to the determination of the award, the Department may initiate discussions with one or more Vendors should clarification or negotiation be necessary. Vendors may also be required to make an oral presentation and/or product demonstration to clarify their RFP response or to further define their offer. In either case, Vendors should be prepared to send qualified personnel to **Montgomery, Alabama**, to discuss technical and contractual aspects of the proposal. Oral presentations and product demonstrations, if requested, shall be at the Vendor’s expense.

2.8 BEST AND FINAL OFFER

The Department reserves the right to request a “best and final offer” for this RFP based on price/cost alone, from one or more Vendors if additional information is required to make a final decision. Vendors may be contacted asking that they submit their “best and final offer,” which must include any and all discussed and/or negotiated changes.

2.9 PUBLIC REQUESTS FOR INFORMATION

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available to the public upon requests shortly after the signing of a contract(s) with the exception of: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any financial information requested by the Department, unless prior written consent has been given by the Vendor.

2.10 COST OF PREPARING A PROPOSAL

The Department is not liable for any expense incurred by the Vendor in the preparation and presentation of their proposal or any other costs incurred by the Vendor prior to execution of a contract. All costs are the responsibility of the Vendor.

2.11 DEPARTMENT'S RIGHTS RESERVED

While the Department has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the Department to award and execute a contract. Upon determination such actions would be in its best interest, the Department, in its sole discretion, reserves the right to the following:

2.11.1 PRE-SELECTION DISCRETION

The Department reserves the right at its sole discretion, at any time and for any reason, to reject any or all of the proposals submitted in response to this RFP, or to cancel this RFP, if it is deemed by the Department to be in the its best interest to do so.

2.11.2 POST-SELECTION DISCRETION

Upon selection of a proposal, the Department reserves the right, at its sole discretion, at any time and for any reason, to change its decision with respect to the selection and to select another proposal, or to cancel the RFP, if it is deemed by the Department to be in its best interest to do so.

2.11.3 WAIVERS

Notwithstanding the amendment provisions otherwise set forth herein, the Department reserves the right at its sole discretion, to waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver in the event the Department determines that such award is in the best interest of the Department. Minor irregularities are those which will not have a significant adverse effect on the overall program cost or performance.

2.11.4 NEGOTIATIONS

The Department reserves the right to negotiate with any vendor whose proposal is within the competitive range, as specified in the RFP with respect to technical plan and cost, as well as to select a vendor other than the vendor offering the lowest price.

2.11.5 ADOPTION OF IDEAS

The Department reserves the right to adopt to its use all or any part, of a vendor's proposal and to use any idea or all ideas presented in a proposal.

2.11.6 ORAL PRESENTATIONS

The Department reserves the right to require Vendors submitting proposals identified as reasonably likely to award to provide oral presentations and/or product demonstrations of their proposals in person at the Department of Human Resources in Montgomery, AL, at Vendor expense, as set out in *Section 2.7* of this RFP.

2.11.7 AMENDMENTS

The Department reserves the right to amend the RFP. Except as provided above with respect to "WAIVERS" made by the Department, all amendments to the RFP will be made by written addendum issued by the Department and posted to the web at www.dhr.state.al.us under this RFP link.

2.11.8 NO GUARANTEE OF CONTRACT

Selection of a proposal shall not be binding upon the Department and may or may not, at the Department's sole discretion, result in the Department entering into a contract with the vendor if it is in the best interest of Department not to proceed with contract execution.

2.11.9 RIGHT TO INVESTIGATE AND REJECT

The Department may make investigations as deemed necessary to determine the ability of the Vendor to perform the services specified. The Department reserves the right to reject any proposal if the evidence

SECTION 2: STANDARD INFORMATION

submitted by, or investigation of, the Vendor fails to satisfy the Department that the Vendor is properly qualified to carry out the obligations of the contract. This includes the Department's ability to reject the proposal based on negative references.

2.11.10 DISCLAIMER

Issuance of this RFP does not constitute a commitment by the Department to select any proposal submitted in response to the RFP, or to award a contract to any vendor who responds to this RFP.

Note: All contracts awarded by this Department are subject to review and approval by the Legislative Oversight Committee and the Governor's Office.

SECTION 3: SCOPE OF PROJECT

3.0 INTRODUCTION

The work to be performed under this procurement encompasses documenting and analyzing the Document Management business processes and systems support currently being used by the Department. The documentation should be done in such a way as to lend itself for use in a future effort to optimize operations. This can be accomplished by documenting the current process and data flows in terms of business events. An example of business events might be food stamp re-certification. Documenting the current operations processes and costs in terms of key business events provides a base from which a comparison of proposed changes can be made. The current process documentation should also be formatted such that it identifies the 'normal' flow for each business event and all 'alternate' or 'exception' flows. In this way the tasks currently performed either manually or outside of the automated flow can be clearly marked for inclusion in the proposed solution.

The work to be accomplished under this procurement consists of the following tasks:

- A. Document current business processes concerning Document Management of the Department of Human Resources (Statewide)
- B. Determine cost of current operations
- C. Document considerations and issues attendant with process reengineering
- D. Compare alternative reengineering approaches and recommend approach most effective to satisfy Department goals referred to in section 3.1 Background - Information Services.

3.1 BACKGROUND - INFORMATION SERVICES

Department's goal is to acquire, implement and operate the optimal automated document management solution, tentatively titled the Department of Human Resources (DHR) Statewide Document Management System. The Department's goals which will be impacted by this new Document Management System are: develop and implement proactive strategies by end of FY 08 to improve public support for DHR; integrate data-based processes and decision making strategies throughout the Department.

3.1.1 OPERATING ENVIRONMENT

The Department is comprised of Legal and approximately 4200 employees in 4 primary functional divisions: Children and Family Services; Family Resources; Field Administration; and Fiscal and Administrative Services.

3.1.1.1 DOCUMENT MANAGEMENT

The current document management efforts consist primarily of filing hard copy documents. There are a few instances of using more modern technology.

3.1.1.2 DESKTOP/CLIENT OPERATING SYSTEMS

What our environment will look like for this project

- 129 Dell Servers
- 827 Network Printers
- 4200 Desktop PCs with flat panel displays
- 350 laptop PCs
- Microsoft Office 2003
- Updated versions of other software required to run on Windows XP

3.1.2 FISCAL AND ADMINISTRATIVE SERVICES DIVISION

The Office of Fiscal and Administrative Services directs the development, implementation, and execution of Information Services policies, programs, plans, budget, and procedures. Fiscal and Administrative Services is responsible for manpower, funds, space, and equipment to meet the Information Technology needs of the Department.

Information Services Division –

Mission: To Serve the Alabama Department of Human Resources through the effective and efficient Application of information technology.

Vision: To provide the highest quality information services and technologies to Department in order to better serve the people of Alabama.

In addition to the Information Services Division, the Senior Deputy Commissioner oversees the direction of the Finance Division, The Personnel Division, The General Services Division and Management and Fiscal Analysis.

3.1.2.1 INTERFACES

Fiscal and Administrative Services interconnects with functions performed by the other divisions of the Department such as: Children & Family Services; Family Resources; and Field Administration.

3.2 PLACE OF PERFORMANCE

The Vendor shall work primarily at the work locations specified in *Section 3.11.1 Facilities, Supplies, and Services*.

3.3 HOURS OF WORK

The Vendor personnel working at the State facilities shall work during normal business workdays for the State of Alabama between the hours of 8:00 AM to 5:00 PM, local time. Vendor personnel will observe the same State holidays. The DHR/ISD Project Manager must formally approve any deviations from the required work schedule.

3.4 SECURITY

The Vendor must comply with all State laws and regulations concerning information privacy. This is extremely critical due to the sensitivity of the data that the State Department of Human Resources must retain. The Vendor must comply with the Department's Universal Privacy and Internet and email Use Policy while conducting business with and for the Department. These policies can be referenced, respectively, by accessing the Department's website at www.dhr.state.al.us.

3.5 SUBSTITUTION OF PERSONNEL

All personnel described in the Vendor's proposal shall perform continuously for the duration of the project, and for so long as performance is satisfactory to the DHR /ISD Project Manager. The DHR /ISD Project Manager shall give written notice of performance issues to the Vendor, clearly describing the problem and delineating requirement(s). The Vendor shall respond with a written remediation plan within three (3) business days and implement immediately upon written acceptance of the DHR/ISD Project Manager. Should performance issues persist, the DHR/ISD Project Manager may give written notice or request the immediate removal of person(s) whose performance is an issue, including the DHR /ISD Project Manager, and determine whether a substitution is required.

The Vendor may not substitute personnel, other than by reason of an individual's death, sudden illness or termination of employment, without the prior written approval of the DHR/ISD Project Manager.

To replace any personnel specified in the task order proposal, the Vendor shall submit the resumes of the proposed substitute personnel to the DHR /ISD Project Manager for approval, at least two weeks prior to the effective date of substitutions. All proposed substitute personnel shall have qualifications at least equal to those of the replaced personnel. The DHR /ISD Project Manager must approve the propose substitutes as meeting the minimum qualifications for the labor category as specified in the Master Contract.

3.6 WORK REQUIREMENTS

The Vendor must perform the following:

- a. Document existing workflow processes in terms of key business events. Documentation should include:
 - i. Business function performed
 - ii. Organization interfaces
 - iii. Automated systems used by each organization unit for each business function
 - iv. Data flow and transformation
- b. Analyze current financial data to produce an estimate of current costs by business event.
- c. Analyze operational, technical, and economic risks of future reengineering effort.
- d. Document potential and recommended reengineering methodologies to improve current operations, systems support, and methods of implementation.
- e. Document recommended methodology to define business requirements for new systems support effort to include prioritization and return.
- f. Final report and presentation.
- g. Development of an RFP

3.7 MILESTONES AND DELIVERABLES

The anticipated milestones and key deliverables are listed below. These are included here to clarify the nature of the desired results. As part of their technical proposals, prospective vendors are asked to submit a description of, and schedule for, all milestones and deliverables. The number of milestones and deliverables must be sufficient to permit successful, ongoing management of the progress of the project by the Department. The vendor shall prepare a Microsoft Project 2003, using Microsoft Project 2003, supporting these, or similar, milestones and deliverables. Required Department support should be specified. Immediately following an award, the selected vendor shall email a copy of the Microsoft Project 2003 project plan to DHR Director of Information Services and DHR/ISD Project Manager.

The Vendor shall deliver one paper copy and one electronic copy using Microsoft Office 2003 software of each written deliverable to the Project Manager.

Following are the anticipated milestones and their associated deliverables

Milestone I—Identification and definition of DHR Business Events

Deliverable 3.7.1—Business Event Definition Document

A definition of the key business events that comprise the scope of the Department's operations and an explanation of the interrelationships between events.

Review and approval from the DHR/ISD Project Manager is required to proceed.

Milestone II—Current Process Documentation

Deliverable 3.7.2—Workflow document

Documentation of current workflow supporting each business event. Workflow should include all elements listed in work requirements 3.6.(a) above.

Deliverable 3.7.3—Organization units/ Business Event Matrix

A matrix that clearly indicates the organization units involved with each defined business event. The matrix should include the estimated percent of time and/or resource each unit spends on each associated business event.

Deliverable 3.7.4—Organization Units / System use Matrix

A matrix that estimates the percentage of overall system use, by organization unit, for every major automated system identified in *deliverable 3.7.2*

The combination of deliverables at this milestone should provide a clear basis for estimating current business event costs and for the identification of issues in Milestone III.

Review and approval from the DHR/ISD Project Manager is required to proceed.

Milestone III—Current Costs and Issues

Deliverable 3.7.3.1-Cost Matrix

Using budget data where available and/or estimates based on vendors professional experience in conjunction with the Milestone II deliverable, determine the estimated current annual costs of each business event. Where processing volumes are available, determine both the overall annual and unit costs.

Deliverable 3.7.3.2—Major Issues Document

A thorough discussion of the significant issue attendant with the current processing environment and the continued use of the existing systems that warrant specific attention in a redesign effort aimed at increasing efficiency.

Review and approval from the DHR/ISD Project Manager is required to proceed.

Milestone IV—Recommendations and Final Report

Deliverable 3.7.4.1—Reengineering Process Recommendations Document

A comparison of alternative approaches/methodologies to improve or replace current business processes and systems and a recommendation on the most appropriate methodology to satisfy the DHR's goals.

Deliverable 3.7.4.2—Final Report and Presentation

A comprehensive final report consolidating earlier deliverable with pertinent items from earlier reviews along with a presentation of key findings and recommendations to be delivered to key agency management. A minimum of two presentations should be anticipated.

Deliverable 3.7.4.3—RFP for Document Imaging system and Conversion of Records (if requested)

3.8 PROGRESS REPORTING

The Vendor shall submit a weekly progress report to the Project Manager, and an electronic copy to the Director of Information Services. The progress report and copy shall be submitted on or before the fifteenth day of the month following the reporting period and shall contain, at a minimum, the following information;

- a. DHR, Contract Number, reporting period and “Progress Report” to be included in email subject line.
- b. Work accomplished during the reporting period.
- c. Deliverable progress, as a percentage of completion.
- d. Problem areas.
- e. Planned activities for the next reporting period.
- f. An accounting report for the current reporting period and a cumulative summary of the totals for both the current and previous reporting periods. The accounting report shall include amounts invoiced-to-date and paid-to-date.
- g. Microsoft Project 2003 updated from original to show actual progress; as applicable, explanations for variances and plan for completion on schedule.

Additionally, the vendor shall provide written notification to the Director of Information Services, when the vendor reaches 75% of the agreed upon contract price of the project.

The Vendor should be available to hold a meeting with the DHR/ISD Project Manager once per week after project startup until the final deliverable has been accepted to discuss project status and any problem areas. The time and place of this meeting will be agreed to at project startup. This weekly meeting will not supersede or negate the requirement for the written monthly progress report.

3.9 ACCEPTANCE CRITERIA FOR DELIVERABLES

- a. All milestone completion dates are met.
- b. All deliverables are complete, comprehensive and in the proposed format and/or a revised format that has been approved by the DHR/ISD Project Manager.
- c. All documentation associated with the submitted deliverable, and any previously submitted deliverables which changed as a result, are updated as required.

3.10 DEPARTMENT FURNISHED RESOURCES

3.10.1 FACILITIES, SUPPLIES, AND SERVICES

A reasonable level of the following items will be provided for Vendor personnel at the Department’s facility located at 64 North Union Street in Montgomery, Alabama: office space; office furniture (desk and chair); office supplies; telephone and fax equipment (local use only); photocopier(s) and printer(s); and a personal computer with e-mail and internet services.

The Vendor will be responsible for their staff’s transportation, parking, and any other commuting related costs while working at the Agency’s principal location. The Department will not provide any meals or other like services to the Vendor’s employees while onsite.

The Vendor’s staff while working onsite at Department facilities, will not be authorized to conduct other business not directly supporting this contract, nor should the Vendor utilize any of the Department’s resources including telephones, fax, Xerox, computing equipment or supplies for any purpose other than support of this contract. The Vendor’s staff shall comply with all department policies while working onsite at the Department’s facility.

3.11 INFORMATION SOURCES

The State will provide access to Department personnel in accordance with the parameters specified by the vendor in the winning proposal. Reasonable modifications to these parameters will be considered during the performance period subject to personnel availability.

The Department will provide access to existing supporting documentation to the extent available including:

- a. Business process documentation
- b. System documentation
- c. Budget and cost data

3.12 INSTRUCTIONS AND NOTICES TO VENDORS

The successful vendor shall be deemed ineligible to bid, as either a prime vendor or a subcontractor to the prime vendor's team, on any subsequent RFP for a vendor to develop and install a new integrated document management system or any associated system installed as part of the same implementation, such as workflow or imaging.

SECTION 4: PROPOSAL FORMAT AND INSTRUCTIONS

4.0 PROPOSAL REQUIREMENTS

Proposals must meet all requirements as specified in this RFP. Proposals must incorporate the specified structure and format; must be clear, detailed, and complete as to fully demonstrate that the prospective Vendor has a thorough understanding of the requirements for providing the services for this procurement. Statements that the Vendor understands, acknowledges, or can comply with the requirements/specifications, and statements paraphrasing the specifications are considered inadequate as are phrases such as “industry standards will be adhered to” and/or “standard procedures will be implemented”, or “research-based models will be used”. Proposals must clearly and adequately describe the concepts and methodologies to be implemented by the Vendor. Information must be clear, succinct, and easily understandable.

4.1 COMPLETENESS OF PROPOSALS

Selection(s) and award(s) will be based on the Vendor’s proposal and other items described in this RFP. Proposals should not include references to information located elsewhere, such as Internet websites. Information or materials presented by Vendors outside the formal response or subsequent discussion/negotiation or “best and final offer,” if requested, will not be considered, will have no bearing on any award, and may result in the Vendor being disqualified from further consideration.

4.2 PROPOSAL FORMAT

Proposals must be single-spaced, incorporating 1-inch margins, typed using Times New Roman (font) size 12 and printed/copied onto standard (8½ x 11) white typing/copier paper. *Paragraphs must be double-spaced.* All proposals must include labeled tabs that correspond with the bolded sections and subsections to which the information pertains. Vendors should avoid the use of elaborate presentations and binding materials beyond that sufficient to present complete and effective proposals.

4.2.1 COVER SHEET

The first page of each proposal must be the completed **Cover Sheet** (RFP cover sheet) with an original ink signature of the person(s) legally authorized to bind the vendor to the proposal. **Proposals without signatures of persons legally authorized to bind the vendor to the proposal will be rejected.** The cover sheet must also include the name of the contact person and contact information of the person authorized to act on behalf of the vendor (do not number this page). Vendors must also provide their Federal Employer Identification Number. The vendor must denote the original proposal and copies by placing a check in the appropriate box on the cover sheet.

4.2.2 TABLE OF CONTENTS

The Cover Sheet should be followed by the “**Table of Contents**”, which should list all sections, subsections and page numbers.

4.2.3 TAXPAYER IDENTIFICATION NUMBER

The Table of Contents should be followed by the completed and signed “**Request for Taxpayer Identification Number**” form (*Appendix B*). All items on this form must be completed. (Do not number this page).

4.2.4 LICENSES/CERTIFICATES/CREDENTIALS

The Request for Taxpayer Identification Number form should be followed by a copy of all required **Licenses, Certificates, and/or Credentials** or a copy of a completed license application form submitted by the deadline specified in this RFP.

4.2.5 TECHNICAL PROPOSAL

Copies of Licenses/Certificates/Credentials should be followed by the **Technical Proposal**. Numbering of the proposal pages should begin with page 1 of the Technical Proposal. Page numbers should be placed in the left corner of the bottom margin. The Technical Proposal must prescribe to sections **4.2.5.1** through **4.2.5.4.6** below:

4.2.5.1 VENDOR QUALIFYING INFORMATION

4.2.5.1.1 Vendor Profile and Experience

The Vendor must specify how long it has been in the business of providing services similar to those requested in this RFP and under what company name. The Vendor must list all names it has used when conducting business. The Vendor must explain their expertise or history in the provision of such services or identify a nationally recognized model that has proven to be successful that will be used in the provision of services under this RFP. The Vendor must provide an organizational profile including: number of employees, and form of business (e.g. individual, sole proprietor, corporation, non-profit corporation, limited liability company).

4.2.5.1.2 References

The proposing Vendor must provide a minimum of three (3) references for which it has performed similar services. *Each reference must include a brief description of the task(s) performed by the vendor.* For each reference, the Vendor must provide: company/agency name of the reference; location where the services were performed (city, state); primary and secondary contact name, title, telephone number, and e-mail address; a brief description of the project; description of the Vendor's role in the project; and the start and end date of each project. These references may be contacted to verify Vendor's ability to perform the contract. The Department reserves the right to use any information or additional references deemed necessary to establish the ability of the Vendor to perform the conditions of the contract. Negative references may be grounds for proposal disqualification.

4.2.5.1.3 Past and Present Contractual Relationships with the Department

The Vendor shall describe any past or present contractual relationship it may have or have had with the Department or any other state agency during the past three years. If the Vendor, its predecessor, or any party named in the Vendor's responses to this Section has contracted with any department within the State Government during the past three years, identify the contract number and/or other information available to identify such contract(s). If no such contracts exist, so declare. If any party named in the Vendor's response to this RFP was an employee of the State in the past two years, identify the individual(s) by name, state agency by which employed, job title of position held with the State, and separation date. If no such relationship exists, so declare.

4.2.5.1.4 Contract Performance

If the Vendor, has had a contract terminated for default during the past five years, all such instances must be described as discussed below. Termination for default is defined as notice to stop performance delivery due to the Vendor's nonperformance or poor performance and the issue was either (a) not litigated due to inaction on the part of the Vendor; or (b) litigated and such litigation determined the Vendor to be in default. Submit full details of all terminations for default experienced by the Vendor during the past five years, including the other party's name, address, and telephone number. Present the Vendor's position on the matter. The Department shall evaluate the facts and may, at its sole discretion, reject the Vendor's Proposal if the facts discovered indicate that completion of a contract resulting from this RFP may be jeopardized by selection of the Vendor. If the Vendor has experienced no such terminations for default in the past five years, so declare. If at any time during the past five years, the Vendor has had a contract terminated for convenience, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract

provisions, describe fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination. If no such early terminations have occurred, so declare.

Failure to report on the foregoing or if the information furnished is determined to be inaccurate, whether by omission or commission, shall result in rejection of the Vendor's Proposal.

4.2.5.1.5 *Staffing Schedule/Resumes/Job Descriptions/Training*

The Vendor must provide a staffing schedule, by skill category, to meet each milestone and deliverable, and to accomplish all specified work requirements. Vendors must also submit a resume or job description detailing the level of education, experience, training, skills, etc. which emphasizes previous experience in the service area as described in this RFP for all key personnel who will be involved with the proposed project. The Vendor should indicate that it has sufficient staff to perform the services required in this RFP, if sufficient staff is not currently available, describe how staff will be obtained to provide the services and the timeline for obtaining the needed staff. Indicate the number of anticipated staff for each position title. List all professional licenses held by the vendor.

4.2.5.2 *VENDOR FINANCIAL STABILITY*

Vendors must provide documentation of financial responsibility and stability by: providing financial statements, preferably audited, for three (3) consecutive years immediately preceding the issuance of this RFP; and providing copies of any quarterly financial statements that have been prepared since the end of the period reported by your most recent annual report.

4.2.5.3 *METHOD OF PROVIDING SERVICES*

4.2.5.3.1 *Proposed Solution*

The Vendor must provide a detailed description of the proposed solution and methodology to accomplish the specified work requirements that will convincingly demonstrate to the Department what the Vendor intends to do, the timeframes necessary to accomplish the work, and how the work will be accomplished.

4.2.5.3.2 *Risk Assessment*

Vendors must provide a description of any risks inherent in the work requirements and actions to mitigate these risks. Weekly reporting must address any such issues.

4.2.5.3.3 *Proposed Tools*

Vendors must provide a complete description of all proposed tools and how they will be used to facilitate the work.

4.2.5.3.4 *Acceptance Criteria*

Vendors must submit a statement acknowledging the Vendor's understanding of the acceptance criteria (*Section 3.9 Acceptance Criteria for Deliverables*).

4.2.5.3.5 *Milestones and Deliverables*

The Vendor must provide a detailed project schedule that is comprised of the detailed work plan for the entire project. A description of and the schedule for each milestone and deliverable, illustrated by a Microsoft Project 2003 and start and completion dates for each task, milestone, and deliverable shall be indicated. The Microsoft Project 2003 will form the baseline for project monitoring, and will be updated weekly as part of progress reporting (*Section 3.8 Progress Reporting*).

4.2.5.3.6 *Work Breakdown Structure*

Vendors must provide a detailed work breakdown structure, with labor hours by skill category that will be applied to meet each milestone and deliverable, and to accomplish all specified work requirements.

4.2.5.4 VENDOR CERTIFICATIONS

Vendors must submit a statement attesting that they warrant and represent to the Department that the vendor accepts and agrees with all certifications and terms and conditions of this RFP. Further, by submitting a response to this RFP, the vendor certifies to the Department that they are legally authorized to conduct business within the State of Alabama and to carry out the services described in this document.

4.2.5.4.1 *Revolving Door Policy*

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees is a current employee of the Department, and none of the said individuals have been employees of the Department in violation of the revolving door prohibitions contained in the state of Alabama ethics laws.

4.2.5.4.2 *Debarment*

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees (whether paid or voluntary) is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension."

4.2.5.4.3 *Standard Contract*

The vendor must agree to the use of the Department's standard contract document. The vendor will further comply with all the terms and conditions of that document, including, but not limited to, compliance with the Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act, Alabama Act No. 2000-775 (governing individuals in direct service positions who have unsupervised access to children), the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as applicable, and all other federal and state laws, rules and regulations applicable to receiving funds from the Department to carry out the services described in this RFP. Further, any contract executed pursuant to the RFP must be subject to review by the Department's legal counsel as to its legality of form and compliance with State contract laws, terms and conditions, and may further be subject to review by the Alabama Legislative Contract Review Committee, Examiners of Public Accounts, the State Finance Director and the Office of the Governor.

4.2.5.4.4 *Charitable Choice (applies to faith-based organizations only)*

The vendor must attest that funds received as a result of this procurement will not be used for sectarian instruction, worship, proselytizing or for any other purely religious activities that are not directed toward the secular social goals related to the services described in this RFP. The vendor must agree to serve all eligible members of the public without regard to their religious beliefs and, further, must not require clients' active participation in any religious practice. (In carrying out the said services, the vendor will remain independent from federal, state and local governments; will retain control over the expression of its religious beliefs, and is NOT required to remove its religious writings or symbols or to alter its internal governance as a condition of doing business with the Department.)

4.2.5.4.5 *Financial Accounting*

Vendors must agree that the vendor's accounting system will be consistent with General Accepted Governmental Accounting Principles (GAAP). The vendor must maintain sufficient financial accounting records documenting all funding sources and applicable expenditure of all funds from all sources.

4.2.5.4.6 *Vendor Work Product*

The Vendor must attest that the proposal submitted in response to this document is the work product of said vendor. If the proposal is determined not to be the work product of the vendor, the proposal may, at the Department's sole discretion, be rejected.

4.2.5 ATTACHMENTS

Vendors must include all applicable forms identified below and any additional supportive documentation, as attachments (i.e., Attachment A, B, C, etc). All applicable forms/documents must follow the Technical Proposal.

4.2.5.1 Legal Status Form

The Technical Proposal must be followed by a copy of the **Legal Status Form**. *This form is provided by the Internal Revenue Service (IRS) and includes the FEIN.*

4.2.5.2 Disclosure Statement

The Legal Status Form must be followed by a completed copy of the **Disclosure Statement**.

4.2.5.3 Trade Secret Affidavit

The Disclosure Statement must be followed by a completed copy of the **Trade Secret Affidavit** (*Appendix C*), if applicable.

4.2.5.4 Immigration Status Form

The Trade Secret Affidavit, if applicable must be followed by a completed copy of the **Immigration Status Form** (*Appendix D*).

SECTION 5: COST PROPOSAL

5.0 COST PROPOSAL

Vendors shall provide the following in the Financial Proposal:

5.0.1 FORMATTING REQUIREMENTS

Formatting requirements for the Price Breakdown Structure are:

1. Milestone and Deliverable identifying information will be in bold and placed in a frame.
2. Estimated range of hours for each labor skill category for each deliverable.
2. Estimated range of costs for each deliverable. Dollar figures will be rounded to the nearest whole dollar.

The information should continue, as necessary and appropriate, to cover all Milestones and Deliverables.

List all deliverables, even those not separately priced (NSP). Summary of estimated hours and hourly rates for each labor skill category.

SECTION 6: EVALUATION CRITERIA

6.0 EVALUATION CRITERIA

The evaluation committee will review and evaluate the proposals according to the following criteria based on a **maximum possible value of 1,000 points**. Proposals failing to meet the requirements of this RFP may be deemed non-responsive or subject to point deductions. The point value assigned to each component of the **Technical Proposal and Cost Proposal** will be based on the following scoring scale:

Category	RFP Section	Point Value
Vendor Qualifying Information		40% of points for a possible 400 points
A. Vendor Profile and Experience	4.2.5.1.1	125
B. References	4.2.5.1.2	20
C. Past and Present Contractual Relationships with the Department	4.2.5.1.3	40
D. Contract Performance	4.2.5.1.4	40
E. Project Staff/Resumes/Job Descriptions/Training	4.2.5.1.5	125
F. Vendor Financial Stability	4.2.5.2	50
Method of Providing Services		50% of points for a possible 500 points
A. Proposed Solution	4.2.5.3.1	200
B. Risk Assessment	4.2.5.3.2	80
C. Proposed Tools	4.2.5.3.3	50
D. Acceptance Criteria	4.2.5.3.4	50
E. Milestones and Deliverables	4.2.5.3.5	50
F. Work Breakdown Structure	4.2.5.3.6	50
G. Vendor Certifications	4.2.5.4.	20
Cost Proposal		10% of points for a possible 100 points
A. Cost Proposal	5.0	100

APPENDIX A: STANDARD TERMS AND CONDITIONS

By submitting a response to request for proposal or acceptance of a contract, the vendor agrees to acceptance of the following Standard Terms and Conditions and any other provisions that are specific to this solicitation or contract.

ACCEPTANCE/REJECTION OF PROPOSALS: The Department reserves the right to accept or reject any or all proposals, wholly or in part, and to make awards in any manner deemed in the best interest of the Department. Proposals will be firm for 180 days, unless stated otherwise in the text of the request for proposal.

ACCESS AND RETENTION OF RECORDS: The contractor agrees to provide the Department, Legislative Auditor, or authorized agents, access to any records necessary to determine contract compliance. The contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of three years after either the completion date of the contract or the conclusion of any claim, litigation, or exception relating to the contract taken by the Department or third party.

ALTERATION OF SOLICITATION DOCUMENT: In the event of inconsistencies or contradictions between language contained in the Department's solicitation document and a vendor's response, the language contained in the Department's original solicitation document will prevail. Intentional manipulation and/or alteration of solicitation document language will result in the vendor's disqualification and possible debarment.

ASSIGNMENT, TRANSFER AND SUBCONTRACTING: The contractor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the Department.

AUTHORITY: The following request for proposal, limited solicitation, or contract is issued under authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3rd Sp. Sess., p 817, §1.)

COMPLIANCE WITH LAWS: The contractor must, in performance of work under the contract, fully comply with all applicable federal, department, or local laws, rules and regulations, including the Civil Rights Act of 1964, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Any subletting or subcontracting by the contractor subjects subcontractors to the same provision. The contractor agrees that the hiring of persons to perform the contract will be made on the basis of merit and qualifications and there will be no discrimination based upon race, color, religion, creed, political ideas, sex, age, marital status, physical or mental disability, or national origin by the persons performing the contract.

DEBARMENT: The contractor certifies, by submitting this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the contractor cannot certify this statement, attach a written explanation for review by the Department.

DISABILITY ACCOMMODATIONS: The Department does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services, or activities. Individuals, who need aids, alternative document formats, or services for effective communications or other disability-related accommodations in the programs and services offered, are invited to make their needs and preferences known to this office. Interested parties should provide as much advance notice as possible.

FACSIMILE RESPONSES: Facsimile responses will not be accepted for requested for proposals or limited solicitations.

FAILURE TO HONOR PROPOSAL: If a vendor to whom a contract is awarded refuses to accept the award (contract) or, fails to deliver in accordance with the contract terms and conditions, the Department may, in its discretion, suspend the vendor for a period of time from entering into any contracts with the Department.

FORCE MAJEURE: Neither party shall be responsible for failure to fulfill its obligations due to causes beyond its reasonable control, including without limitation, acts or omissions of government or military authority, acts of God, materials shortages, transportation delays, fires, floods, labor disturbances, riots, wars, terrorist acts, or any other causes, directly or indirectly beyond the reasonable control of the non-performing party, so long as such party is using its best efforts to remedy such failure or delays.

HOLD HARMLESS/INDEMNIFICATION: The contractor agrees to hold the Department, its elected and appointed officials, agents, and employees, while acting within the scope of their duties as such, harmless from and against all claims, demands, causes of action of any kind or character, including the cost of defense thereof, arising in favor of the contractor's employees or third parties on account of bodily or personal injuries, death, or damage to property arising out of services performed or omissions of services or in any way resulting from the acts or omissions of the contractor and/or its agents, employees, representatives, assigns, subcontractors, except for acts of omission resulting from the sole negligence of the Department, under this agreement.

LATE PROPOSALS: Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely the vendor's risk to assure delivery at the designated office by the designated time. Late proposals will not be opened and may be returned to the vendor at the expense of the vendor or destroyed if requested.

REGISTRATION WITH THE PURCHASING DIVISION: Any business intending to transact business in Alabama must register with the Alabama Purchasing Division by completing the Vendor Disclosure Statement. A copy of the Vendor Disclosure Statement can be downloaded from the Purchasing website at www.purchasing.alabama.gov.

SEVERABILITY CLAUSE: A declaration by any court, or any other binding legal source, that any provision of the contract is illegal and void shall not affect the legality and enforceability of any other provision of the contract, unless the provisions are mutually dependent.

SOLICITATION DOCUMENT EXAMINATION: Vendors must promptly notify the Department of any ambiguity, inconsistency, or error, which they may discover upon examination of a solicitation document.

TERMINATION OF CONTRACT: Unless otherwise stated, the Department may, by written notice to the contractor, terminate the contract in whole or in part at any time the contractor fails to perform the contract.

UNAVAILABILITY OF FUNDING: The Department, at its sole discretion, may terminate or reduce the scope of the contract if available funding is reduced for any reason.

U.S. FUNDS: All prices and payments must be in U.S. dollars.

STATE OF ALABAMA
REQUEST FOR TAXPAYER IDENTIFICATION NUMBER
STATE COMPTROLLER'S OFFICE

1. In PART 1 below provide your Tax Identification Number and check FEIN or SSN. Also provide the name and address to which payments should be sent. In addition, provide the name of the legal signatory authority for your organization (the individual authorized in your Constitution and/or By-laws to legally obligate the organization, for example, sign a contract on behalf of the organization).
2. Circle the business designation that identifies your type of trade or business in PART 2.
3. Sign and return this form as part of the response to the RFP:

NAME & TITLE OF LEGAL SIGNATORY AUTHORITY: _____

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APPENDIX C: TRADE SECRET AFFIDAVIT

Alabama Department of Human Resources

AFFIDAVIT FOR TRADE SECRET CONFIDENTIALITY

DEPARTMENT OF _____)

)ss.

County of _____)

_____ (Affiant), being first duly sworn under oath, and representing
_____ (hereafter "Vendor"), hereby deposes and says that:

1. I am an attorney licensed to practice in the State of _____, representing the Vendor referenced in this matter, and have full authority from the Vendor to submit this affidavit and accept the responsibilities stated herein.

2. I am aware that the Vendor is submitting a proposal to the Alabama Department of Human Resources for RFP # _____. Public agencies in Alabama are required by Alabama law to permit the public to examine documents that are kept or maintained by the public agencies, other than those legitimately meeting the provisions of the Alabama Trade Secrets Act, Alabama Code Section 8-27-1, and that the Department is required to review claims of trade secret confidentiality.

3. I have read and am familiar with the provisions of the Alabama Trade Secrets Act, am familiar with the case law interpreting it, and understand that all information received in response to this RFP will be available for public examination except for:

- (a) trade secrets meeting the requirements of the Act; and
 - (b) information requested by the Department to establish vendor responsibility
- unless prior written consent has been given by the vendor.

4. I am aware that in order for the Vendor to claim confidential material, this affidavit must be fully completed and submitted to the Department, and the following conditions must be met by the Vendor:

- (a) information to be withheld under a claim of confidentiality must be clearly marked and separated from the rest of the proposal;
- (b) the proposal may not contain trade secret matter in the cost or price; and
- (c) the Vendor's explanation of the validity of this trade secret claim is attached to this affidavit.

5. I and the Vendor accept that, should the Department determine that the explanation is incomplete, inadequate or invalid, the submitted materials will be treated as any other document in the department's possession, insofar as its examination as a public record is concerned. I and the Vendor are

APPENDIX C: TRADE SECRET AFFIDAVIT

solely responsible for the adequacy and sufficiency of the explanation. Once a proposal is opened, its contents cannot be returned to the Vendor if the Vendor disagrees with the Department's determination of the issue of trade secret confidentiality.

6. I, on behalf of the Vendor, warrant that the Vendor will be solely responsible for all legal costs and fees associated with any defense by the Department of the Vendor's claim for trade secret protection in the event of an open records request from another party which the Vendor chooses to oppose. The Vendor will either totally assume all responsibility for the opposition of the request, and all liability and costs of any such defense, thereby defending, protecting, indemnifying and saving harmless the Department, or the Vendor will immediately withdraw its opposition to the open records request and permit the Department to release the documents for examination. The Department will inform the Vendor in writing of any open records request that is made, and the Vendor will have five working days from receipt of the notice to notify the Department in writing whether the Vendor opposes the request or not. Failure to provide that notice in writing will waive the claim of trade secret confidentiality, and allow the Department to treat the documents as a public record.

Documents that, in the opinion of the Department, do not meet all the requirements of the above will be available for public inspection, including any copyrighted materials.

Affiant's Signature

Signed and sworn to before me on _____ (date) by _____
_____. (Affiant's name).

Name of Notary Public: _____ for the
Department of: _____

My Commission Expires: _____

Place seal here.

APPENDIX D: IMMIGRATION STATUS FORM
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I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

Signature of Contractor

Witness